

03-14-01

A

03/13/01

1059 U.S. PTO

1059 U.S. PTO
09/805296

03/13/01

<p align="center">UTILITY PATENT APPLICATION TRANSMITTAL</p> <p>Only for new nonprovisional applications under 37 C.F.R. § 1.53(b))</p>	Attorney Docket No.	AM-00102.P.1-US
	First Inventor or Application Identifier	Vladimir Efimov
	Title	Oligonucleotide Analogues, Methods of Synthesis and Methods of Use
	Express Mail Label No.	EL648659867US
<p align="center">APPLICATION ELEMENTS</p> <p>See MPEP chapter 600 concerning utility patent application contents</p>	<p>ADDRESS TO: Assistant Commissioner for Patents Box Patent Application Washington, DC 20231</p>	
<p>1. <input checked="" type="checkbox"/> * Fee Transmittal Form (e.g. PTO/SB/17) (Submit an original and a duplicate for fee processing)</p> <p>2. <input checked="" type="checkbox"/> Specification [Total Pages in application [195]]</p> <p>3. <input checked="" type="checkbox"/> Drawing(s) (35 U.S.C. 113) [Total Sheets [8]]</p> <p>4. Oath or Declaration</p> <p>a. <input checked="" type="checkbox"/> Newly executed (original or copy)</p> <p>b. <input type="checkbox"/> Copy from a prior application (37 C.F.R. § 1.63(d)) (For continuation/divisional with Box 16 completed)</p> <p>i. <input type="checkbox"/> <u>DELETION OF INVENTOR(S)</u> Signed statement attached deleting inventor(s) named in the prior application See 37 C.F.R. §§ 1.63(d)(2) and 1.33(b).</p> <p>*NOTE FOR ITEMS 1 & 13: IN ORDER TO BE ENTITLED TO PAY SMALL ENTITY FEES, A SMALL ENTITY STATEMENT IS REQUIRED (37 C.F.R. § 1.27); EXCEPT IF ONE FILED IN A PRIOR APPLICATION IS RELIED UPON (37 C.F.R. § 1.28).</p> <p>5. <input type="checkbox"/> Microfiche Computer Program (Appendix)</p> <p>6. Nucleotide and/or Amino Acid Sequence Submission (If applicable, all necessary)</p> <p>a. <input checked="" type="checkbox"/> Computer Readable Copy</p> <p>b. <input checked="" type="checkbox"/> Paper Copy (identical to computer copy)</p> <p>c. <input checked="" type="checkbox"/> Statement verifying identity of above copies</p>		

ACCOMPANYING APPLICATION PARTS

7. ☒ Assignment Papers (cover sheet & documents(s))
 8. ☐ 37 C.F.R. § 3.73(b) Statement
 (when there is an assignee)
 ☒ Power of Attorney
 9. ☐ English Translation Document (if applicable)
 10. ☐ Information Disclosure Statement (IDS)/PTO-1449
 ☐ Copies of IDS Citations
 11. ☒ Preliminary Amendment
 12. ☒ Return Receipt Postcard (MPEP 503)
 (Should be specifically itemized)
 13. ☒ * Small Entity Assertions
 ☐ Statement filed in prior application. Status still proper and desired
 14. ☐ Certified Copy of Priority Document(s)
 (If foreign priority is claimed)
 15. ☒ Other: Certificate of Mailing by Express Mail

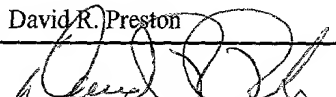
16. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) Of prior application No: _____
 Prior application Information: Examiner _____ Group Art Unit _____

For CONTINUATION or DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 4b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

17. CORRESPONDENCE INFORMATION

☒ Customer Number 24232 or Bar Code Label [] or
☐ Correspondence address below

Name		David R. Preston	
Address		11404 Sorrento Valley Road, Suite 104	
City, State and Zip Code		San Diego, California 92121	
Country		USA	
Telephone		858.450.1388	
Facsimile		858.450.2188	
Name	David R. Preston	Registration Number	38,710
Signature		Date	March 13, 2001

Corresponds to PTO/SB/05

FEE TRANSMITTAL		Complete if Known	
Patent fees are subject to annual revision on October 1. These are the fees effective October 1, 1997. Small Entity payments <u>must</u> be supported by a small entity statement, otherwise large entity fees must be paid. See Forms PTO/SB/09-12. See 37 C.F.R. §§ 1.27 and 1.28.		Application Number:	To be determined
		Filing Date:	Herewith
		First Named Inventor:	Vladimir Efimof
		Group / Art Unit:	To be determined
Total Amount of Payment	\$ 712.00	Docket Number:	AM-00102.P.1-US

METHOD OF PAYMENT
1. <input type="checkbox"/> The Commissioner is hereby authorized to charge indicated fees and credit any over payments to: Deposit Account Number: <input type="checkbox"/> Deposit Account Name: <input type="checkbox"/> <input type="checkbox"/> Charge Any Additional Fee Required Under 37 C.F.R. §§ 1.16 and 1.17 <input type="checkbox"/> Charge the Issue Fee Set in 37 C.F.R. § 1.18 at the Mailing of the Notice of Allowance.
2. <input checked="" type="checkbox"/> Payment Enclosed <input checked="" type="checkbox"/> Check Number <u>677</u> <input type="checkbox"/> Money Order <input type="checkbox"/> Other

FEE CALCULATION						
1. BASIC FILING FEE						
	Large Entity Fee Code	Large Entity Fee (\$)	Small Entity Fee Code	Small Entity Fee (\$)	Fee Description	Fee Paid
	101		201	355.00	Utility Filing Fee	\$ 355.00
	106		206		Design Filing Fee	\$
	107		207		Plant Filing Fee	\$
	108		208		Reissue Filing Fee	\$
	114		214		Provisional Filing Fee	\$
SUBTOTAL (1)						\$ 355.00

2. EXTRA CLAIM FEES


				Extra Claims		Fee From Below		Fee Paid
Total Claims	[33]	-20 **	Equals	[13]	Times	[9.00]	Equals	\$117.00
Independent Claims	[6]	-3 **	Equals	[3]	Times	[40.00]	Equals	\$120.00
Subtotal (2)								\$237.00

** or number previously paid, if greater, For Reissues, see below

	Large Entity		Small Entity		Fee Description
	Fee Code	Fee (\$)	Fee Code	Fee (\$)	
	103		203	9.00	Claims in excess of 20
	102		202	40.00	Independent claims in excess of 3
	104		204		Multiple dependent claim, if not paid
	109		209		** Reissue independent claims over original patent
	110		210		** Reissue claims in excess of 20 and over original patent

3. ADDITIONAL FEES					
Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
105		205		Surcharge - late filing fee or oath	\$
127		227		Surcharge - late provisional filing fee or cover sheet	\$
139		139		Non-English specification	\$
147		147		For filing a request for reexamination	\$
112		112		Requesting publication of SIR prior to Examiner action	\$
113		113		Requesting publication of SIR after Examiner action	\$
115		215		Extension for reply within first month	\$
116		216		Extension for reply within second month	\$
117		217		Extension for reply within third month	\$
118		218		Extension for reply within fourth month	\$
128		228		Extension for reply within fifth month	\$
119		219		Notice of Appeal	\$
120		220		Filing a brief in support of an appeal	\$
121		221		Request for oral hearing	\$
138		138		Petition to institute a public use proceeding	\$
140		240		Petition or revive - unavoidable	\$
141		241		Petition or revive - unintentional	\$
142		242		Utility issue fee (or reissue)	\$
143		243		Design issue fee	\$
144		244		Plant issue fee	\$
122		122		Petitions to the Commissioner	\$
123		123		Petitions related to provisional applications	\$
126		126		Submission of Information Disclosure Statement	\$
581		581	40.00	Recording each patent assignment per property	\$ 120.00
146		246		Filing a submission after final rejection (37 C.F.R. 1.129(a))	\$
149		249		For each additional invention to be examined (37 CFR 1.129(b))	\$
Other fee (specify):					\$
Subtotal (3)					\$ 120.00

4. SUMMATION OF FEES	
SUBTOTAL (1)	\$ 355.00
SUBTOTAL (2)	\$ 237.00
SUBTOTAL (3)	\$ 120.00
TOTAL FEES	\$ 712.00

SUBMITTED BY			Complete (If Applicable)	
Typed or Printed Name	David R. Preston		Registration Number:	38,710
Signature		Date: 3/13/01	Deposit Account User ID Number	501321

David R. Preston & Associates

11404 Sorrento Valley Road
Suite 104

San Diego, California 92121

Preston@drpna.com

www.q-creative.com/drpreston

Phone: 858.450.1388

Facsimile: 858.450.2188



Box Utility Patent Application

"Express Mail" Mailing Label Number: EL648659867US

Date of Deposit: March 13, 2001

Assistant Commissioner for Patents
Washington DC 20231

Re: Utility Patent Application
Entitled: Oligonucleotide Analogues, Methods of Synthesis and Methods of Use
Appl. No.: To be determined
Filed: Herewith
Inventors: Efimov et al.
Our Ref.: AM-00102.P.1-US

Sir:

The following documents are forwarded herewith for appropriate action by the United States Patent and Trademark Office:

1. Utility Patent Application Transmittal (in duplicate);
2. Fee Transmittal (in duplicate);
3. Declaration for Utility or Design Patent Application;
4. Small Entity Status -- Small Business;

5. Complete U.S. Patent Application entitled:

Oligonucleotide Analogues, Methods of Synthesis and Methods of Use

and naming as inventors

Vladimir Efimov
Joseph Fernandez
Dorothy Archdeacon
John Archdeacon
Oksana Chakhmakhcheva
Alla Buryakova
Mikhail Choob
Kyle Hondorp

the utility application comprising:

- a) Total pages of application: [195]
- b) Pages of specification: [131];
- c) Pages of Figures: [8]; Number of Figures: [7];
- d) Pages of Title Page: [1];
- e) Pages of Abstract: [1];
- f) Pages of Sequence Listing: [7]
- g) Pages of References: [3]
- h) Pages of Claims: [44]; [96] Claims;

- 6. Preliminary Amendment;
- 7. Sequence ID Listing - Paper Copy;
- 8. Sequence ID Listing - Disk;
- 9. Statement Under 37 C.F.R. 1.821 through 1.824;
- 10. Recordation of Assignments (three);
- 11. Assignments (three);
- 12. One Return Post Card; and

13. Our Check for \$712.00 to cover the Application Fee and Recordation Fee.

It is respectfully requested that the attached postcard be stamped with the filing date and unofficial application number and returned as soon as possible.

Please apply any charges not covered, or any credits, to **Deposit Account 501321** in the name of **David R. Preston & Associates** having **Customer No.: 24232**.

The following attorney is the attorney of record for prosecuting this application and transacting all business in the USPTO connected therewith:

David R. Preston, Esquire
Registration No. 38,710

Please send all correspondence and direct all telephone calls to:

David R. Preston
David R. Preston & Associates
11404 Sorrento Valley Road, Suite 104
San Diego, California 92121
858.450.1388

Respectfully Submitted,
DAVID R. PRESTON & ASSOCIATES

A handwritten signature in black ink, appearing to read 'David R. Preston', written over a horizontal line.

David R. Preston
Attorney for Applicant
Registration No. 38,710

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:)	
)	
Efimov et al.)	Examiner: To be determined
)	
Application No.: To be determined)	Art Unit: To be determined
)	
Filed: Herewith)	
)	
For: OLIGONUCLEOTIDE)	
ANALOGUES, METHODS OF)	
SYNTHESIS AND METHODS)	
OF USE)	
_____)	

Assistant Commissioner for Patents
Washington D.C. 20231

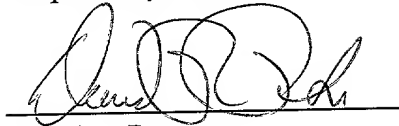
Sir:

STATEMENT UNDER 37 C.F.R. 1.821 through 1.824

In accordance with the requirements under 37 C.F.R. 1.821 through 1.824 for patent applications containing nucleotide sequence and/or amino acid sequence disclosures, Applicants submit herewith a written Sequence Listing and corresponding Computer Readable form for the above-identified application. The information recorded in Computer Readable form is identical to the written Sequence Listing.

Date: March 13, 2001

Respectfully submitted,



David R. Preston
Reg. No. 38,710

David R. Preston & Associates
11404 Sorrento Valley Road
Suite 104
San Diego, CA 92121

Telephone: 858.450.1388
Facsimile: 858.450.2188